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PTO/SB/21 REV 1 (12/97)

Approved for use through 09/30/2000. omb 0651-0032

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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<b>TRANSMITTAL FORM</b> (to be used for all correspondence after initial filing)	Application Number	09/724,179	
	Filing Date	November 28, 2000	
	First Named Inventor	Wenhua Lin	
	Examiner Name	Unknown	
	Group Art Unit	2633	
Total Number of Pages in This Submission	7 + postcard + check	Attorney Docket Number	LIGHT1320

ENCLOSURES (check all that apply)		
<input checked="" type="checkbox"/> Fee Transmittal Form	<input type="checkbox"/> Assignment Papers (for an Application)	<input type="checkbox"/> After Allowance Communication to Group
<input checked="" type="checkbox"/> Fee Attached	<input type="checkbox"/> Drawing(s)	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input type="checkbox"/> Amendment/Response	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> After Final	<input type="checkbox"/> Petition Checklist and Accompanying Petition	<input type="checkbox"/> Proprietary Information
<input type="checkbox"/> Extension of Time Request	<input type="checkbox"/> To Convert a Provisional Application	<input type="checkbox"/> Status Letter
<input type="checkbox"/> Express Abandonment Request	<input type="checkbox"/> Power of Attorney, Revocation	<input checked="" type="checkbox"/> Additional Enclosure(s) (please identify below):
<input type="checkbox"/> Information Disclosure Statement	<input type="checkbox"/> Change of Correspondence Address	<u>POSTCARD</u>
<input type="checkbox"/> PTO Form 1449 (no.) cited references	<input type="checkbox"/> Terminal Disclaimer	<u>CHECK</u>
<input type="checkbox"/> Certified Copy of Priority Document(s)	<input checked="" type="checkbox"/> Declaration for Patent Application	
<input type="checkbox"/> Response to Missing Parts/ Incomplete Application		
<input type="checkbox"/> PTO Form 1533		
<input checked="" type="checkbox"/> Response to Missing Parts Under 37 CFR 1.52 or 1.53		
Remarks:		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual Name	Terrance A. Meador Reg. No. 30,298 GRAY CARY WARE & FREIDENRICH
Signature	<i>Terrance A. Meador</i>
Date	18 April 2001

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on this date: 18 April 2001			
Typed or printed name	Terrance A. Meador		
Signature	<i>Terrance A. Meador</i>	Date	18 April 2001



# GRAYCARY. TECHNOLOGY'S LEGAL EDGE<sup>SM</sup>

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F] 619-699-3452

## FEE TRANSMITTAL

Attorney Docket No.	LIGHT1320
First Named Inventor:	WENHUA LIN
Application Number	09/724,179
Filing Date:	November 28, 2000
Examiner Name:	Unknown
Group/Art Unit:	2633

<b>TOTAL AMOUNT OF PAYMENT:</b>	\$ 573.00
<b>METHOD OF PAYMENT (check One)</b>	1. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge indicated fees and/or credit any over payment to:  Deposit Account No.: 07-1895 Deposit Account Name: GRAY CARY WARE & FREIDENRICH  <input checked="" type="checkbox"/> Charge any Additional Fee Required Under 37 CFR 1.16 and 1.17  2. <input checked="" type="checkbox"/> Payment Enclosed: <input checked="" type="checkbox"/> Check <input type="checkbox"/> Money Order <input type="checkbox"/> Other

### 2. UTILITY Basic Filing Fee & Claims

(1) For	(2) No. filed	(3) No. extra	(4) Large Entity	(5) Small Entity	(6) Calculations
Basic Filing Fee	XX	XX	\$ 710.00	\$355.00	\$ 355.00
Total Claims	37 - 20 =	17	X \$ 18.00	X \$ 9.00	\$ 153.00
Independent Claims	2 - 3 =	0	X \$ 80.00	X \$ 40.00	\$ 0.00
Multiple Dependent Claim(s) (if applicable)			\$ 270.00	\$135.00	\$ 000.00
Total of above Calculations =					\$ 508.00

Basic Filing Fee	Large Entity	Small Entity	Total
Design filing fee	\$ 320.00	\$ 160.00	\$ 000.00
Reissue filing fee	\$ 710.00	\$ 355.00	\$ 0.00
Provisional filing fee	\$ 150.00	\$ 75.00	\$ 0.00
Total of above Calculations =			\$

### 3. ADDITIONAL FEES

Fee Description	Large Entity	Small Entity	Other
	\$	\$	\$
Late Filing Fee (Response to Missing Parts)	\$	\$65.00	\$
	\$	\$	\$
	\$	\$	\$
TOTAL:			\$65.00

Name (print/type)	Terrance A. Meador	Registration No.: (Attorney/Agent)	30,298
Signature	<i>Terrance A. Meador</i>	Date	18 April 2001

SILICON VALLEY SAN DIEGO SAN DIEGO/GOLDEN TRIANGLE SAN FRANCISCO AUSTIN SEATTLE SACRAMENTO LA JOLLA

Gray Cary\SD\1437445.1  
2101501-165156



#3

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Re Application of:

WENHUA LIN

Serial No.: 09/724,179

Filed: November 28, 2000

For: TUNABLE ADD/DROP NODE FOR AN  
OPTICAL NETWORK

Group No.: 2633

Examiner: Unknown

Docket No. LIGHT1320

BOX MISSING PARTS  
Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

**RESPONSE TO NOTICE TO FILE MISSING PARTS OF APPLICATION -  
FILING DATE GRANTED**

This document is submitted in response to the NOTICE TO FILE MISSING PARTS OF APPLICATION, dated March 27, 2001.

Transmitted herewith is the executed combined Declaration/Power of Attorney document.

A check in the amount of \$573.00 is enclosed to cover the filing fees and the late filing fee.

Authorization is given to charge any deficit or credit any excess to Deposit Account No. 07-1895.

Respectfully submitted

TERRANCE A. MEADOR  
Reg. No. 30,298

Date: 18 April 2001

GRAY CARY WARE & FREIDENRICH  
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## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/724,179	11/28/2000	Wenhua Lin	LIGHT1320 C/M # 2101501-1

CONFIRMATION NO. 7760

25548  
GRAY CARY WARE & FREIDENRICH, LLP  
401 B. STREET, SUITE 1700  
SAN DIEGO, CA 92101

## FORMALITIES LETTER



\*OC000000005909037\*

Date Mailed: 03/27/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given TWO MONTHS from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 355 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).*
- Total additional claim fee(s) for this application is \$153.
  - \$153 for 17 total claims over 20.
- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 573.

*A copy of this notice MUST be returned with the reply.*

  
Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

04/24/2001 JADD01 00000063 09724179  
01 FC:201 355.00 OP  
02 FC:203 153.00 OP  
03 FC:205 65.00 OP